

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-047-81-09

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/28/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items IX.A thru IX.G were superseded by N1-292-87-001.

N1-292-93-001 claimed to supersede "item 4.C" of this schedule, but the subject matter does not match.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

NCO 1 Jan 81

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

HHS

2. MAJOR SUBDIVISION

SSA

3. MINOR SUBDIVISION

Regional Offices

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL. EXT.

Ernest P. Lardieri

594-5770

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 22 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A** Request for immediate disposal.

☒ **B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
3-25-81	<u>Dr. George E. Deal</u>	Department Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center"><u>Records Retention and Disposal Schedule</u> <u>Regional Office Records</u></p> <p>Attached is an Administrative Directives System Guide containing records retention and disposal schedules for SSA's regional office records.</p> <p><i>MBS DATA CHANGE SHEET NOT REQUIRED</i></p> <p><i>All pen-in-ink changes have been made with agency concurrence. JFB 4/24/82</i></p>	<p>NCI-47-76-33</p> <p>NCI-47-78-20</p>	

106 items

Closed Out: 5-6-82: K.T.D.
Copy to Agency, NNA, NARS; NNF

LEAVE BLANK	
JOB NO	
<u>NCI-47-81-9</u>	
DATE RECEIVED	
<u>April 2, 1981</u>	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<u>4-29-82</u> Date	<u>[Signature]</u> Archivist of the United States

INSTRUCTIONS

General Instructions:

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service, General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division, Office of Federal Records Centers, National Archives and Records Service, Washington, D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn or not approved for disposal will be so marked. Each SF 115 requiring Comptroller General concurrence must be accompanied by a notification of approval from GAO.

Specific Instructions:

Entries 1, 2, and 3 should show what agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 should be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e., 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal or retention. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

A statement should be provided showing when disposal is to be made of the records, thus:

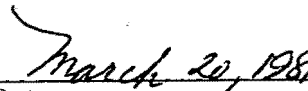
If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

If continuing disposal is requested for records that have accumulated or will continue to accumulate, the retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, or otherwise reproduced or recorded on machine readable media, the retention period should read: "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for an item. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.


SSA Records Officer


Date

SSA ADMINISTRATIVE DIRECTIVES SYSTEM



Guide

RECORDS MANAGEMENT

SSA.r:40-2

RECORDS RETENTION AND DISPOSAL SCHEDULE REGIONAL OFFICE RECORDS

AM-10-7
SMM62

The files described in this schedule are created in the administration of Social Security Administration (SSA) programs by the SSA regional offices (ROs). Unless otherwise noted, record copies are maintained by the ROs.

Description of Records

Authorized Disposition

I. GENERAL PROGRAM ADMINISTRATION RECORDS

A. Administrative Files

Files created or maintained by most ROs in the performance of their assigned functions.

Destroy 2 years after the close of the calendar year in which dated.

1. Official file copies of outgoing correspondence relating to office functions.

2. Comments on draft reports, studies, and proposals prepared by other offices.

3. Contributions to and/or comments on proposed legislation.

4. Suggestion evaluation.

5. Program and management reports, such as overtime and staffing reports, workload and production reports, and other reports prepared to submit narrative or statistical data to management offices. They may also be received from SSA management offices. Examples include Highlight Reports; Redetermination Workload Report; District Office Workload Reports (DOWR), such as SSA-3001A, District Office Weekly Report; RSI Awards and Disallowances; SSA Claims Control System (SSACCS) Report; or their equivalents.

B. Working Files

Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background papers used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as administrative aids and papers that do not serve as a basis for official action.

Destroy after 2 years or when no longer needed for reference, whichever is earlier.

Description of RecordsAuthorized DispositionC. Controlled Correspondence

Locally-controlled correspondence, relating to all SSA programs, for which replies have been prepared. These records are not required for claims or legal purposes. Included are congressional inquiries and replies thereto, and other controlled correspondence and replies thereto.

Destroy 1 year after date of final reply.

D. Policy Memorandum Files

Policy memorandums, interpretations, clarifications, and similar records, used for reference purposes relating to administration of an SSA program within a general region. Record copies of documents which relate to SSA-wide policies are retained by SSA headquarters.

Review files on an annual basis and destroy those records which do not have continuing applicability.

E. Administrative and Program Circulars

Administrative and program circulars issued by components in the RO containing administrative information and instructions and noninstructional program information relating to the administration of SSA programs. Administrative information is issued through the Administrative Directives System, and program information issued as program circulars. Included are related background materials, such as workpapers, clearance comments, draft instructions, and recommendations.

Destroy 2 years after supersession or obsolescence.

F. District Office (DO) Reviews

Documents accumulated in comprehensive reviews of DO operations conducted in each DO periodically. Offices in the RO participate in the review, and copies of the final report are forwarded to the district manager (DM), regional commissioner (RC), and SSA headquarters. Included are reports from office participants, draft reports, final reports of findings and recommendations and related correspondence. Reports include such information as service area characteristics and processing and workload statistics.

Retain two most recent reviews.
Destroy earlier review upon completion of subsequent review.

G. Teletype Files

Teletypes received by RO components via SSA Data Acquisition and Retrieval System (SSADARS) or Advance Records System (ARS) covering a variety of subjects, such as beneficiary data, reports, or procedures. Teletypes contain disposition instructions.

Destroy in accordance with teletype disposition instructions.

<u>Description of Records</u>	<u>Authorized Disposition</u>
<u>H. Equal Employment Opportunity (EEO) Files</u>	
<u>1. Affirmative Action Plan (AAP)</u>	
This is the document which describes the agency, regional, and/or component work plans and objectives relating to the EEO program. Included are problem analyses, areas of emphasis, minority and female employment data, action items, and numerical goals and timetables. Record copies of agency, regional, and the former Office of Program Operations (OPO) AAPs are retained at headquarters. Each plan is developed to cover a specific predetermined period.	Destroy 2 years after the expiration date of the period covered by the plan.
<u>2. Complaint Files</u>	
The Form EEO-652, Final EEO Counselor Report, is used to record precomplaint counseling activities between the agency's EEO counselor and employee(s) or applicant(s) for employment. Records are for official use only. Record copies of complaints are retained by SSA headquarters.	Destroy 2 years after date of counselor closeout or 2 years after date of employee's formal complaint has been closed, whichever is applicable.
<u>3. Correspondence</u>	
This refers to miscellaneous documents which transmit the agency, Department, Office of Personnel Management (OPM), or United States Court decisions regarding formal EEO complaints, also documents relating to the status of such complaints. Record copies are retained by SSA central office.	Destroy 2 years after date of final adjudication of complaint.
<u>I. Reports Management Files</u>	
Records consisting of a working folder on each report and listings of interagency, public-use, and internal reports. The working folder contains copies of the directive requiring the report, clearances, copies of the report itself, cost estimates, and related background documents.	<u>1. Listings</u> Destroy upon receipt of updated report.
	<u>2. Working File</u> Destroy 2 years after required report is terminated.

<u>Description of Records</u>	<u>Authorized Disposition</u>
<u>II. OFFICE OF THE REGIONAL COMMISSIONER (ORC)</u>	
<u>Study Project Files</u>	
Documents relating to study projects initiated by the ORC. Included are completed questionnaires and other raw data documents, project summaries, project designs, completed study reports, and related documents. The projects cover a variety of topics relating to program management and administration in the field.	<ol style="list-style-type: none">1. <u>Completed Questionnaires and Raw Data Documents</u> Destroy 2 years after completion of the project.2. <u>Other Documents</u> Destroy 5 years after completion of the project.
<u>III. FIELD OPERATIONS</u>	
<u>A. Service Area Reviews</u>	
Copies of reports prepared by DOs and branch offices (BOs) containing detailed information relating to present population by counties and cities, growth or decline of population, social and ethnic factors, economic factors, claims workload, public contacts, service to the public and to employees, and similar statistics and management information. The reports are used for classification of DOs and DMs, and for determination of any additional public services required. Record copies are retained by	Destroy when latest review is updated in its entirety.
<u>B. Area Director (AD) Visit Reports</u>	
Reports prepared by ADs from visits to field facilities. Reports are prepared from specific agenda items relating to operational and management areas. Included are final reports, agendas, recommendations, followup actions, and related correspondence.	Destroy 1 year after completion of all actions,
<u>C. Labor Relations Records</u>	
Documents relating to unions representing social security employees in DOs and BOs. Included are union organization and recognition documents, the union constitution, locally-negotiated union agreements, and related documents. Record copies are retained by SSA headquarters.	Destroy when superseded or terminated.

Description of RecordsAuthorized DispositionIV. DISABILITY PROGRAMS FILEA. State Agreements and Modifications

These files consist of copies of agreements entered into with the Disability Determination Service (DDS) pursuant to section 221(b) of the Social Security Act, as amended. The agreements define the responsibilities and working relationships of HHS, SSA, and DDS in administering the disability insurance (DI) program. Included are modifications and interpretations.

Permanent. Transfer to the Federal Records Center (FRC) 5 years after termination or supersession of the agreement. Offer to the National Archives ~~5 years thereafter~~ *10 years after termination or supersession.*

B. DDS Budget Files

These files consist of records which are used to estimate, justify, and approve DDS DI budgets. Included are Forms SSA-870, State Agency Budget Request for Disability Program; SSA-870A, State Agency Budget List of Disability Program Positions (Full Time); SSA-870B, State Agency Budget List of Disability Program Positions (Part Time and Temporary); SSA-871, State Agency Schedule for Equipment Purchases; SSA-872, State Agency Budget Approval for Disability Program; or their equivalents. Also included are related supplemental material and similar records.

Close out file at the end of the budget year; hold 3 additional years, and then transfer to the FRC. Destroy after a total 6 years' retention.

C. DDS Financial Report Files

These files consist of records used to account for funds received and expended by DDS. Included are Forms SSA-874, Financial Accountability Statement for Disability Program; SSA-874B, Time Report of Personal Services for Disability Program; or their equivalents. Also included are monthly summary reports, inventories of equipment and certifications, related supplemental material, and similar records. Record copies are maintained by headquarters.

Destroy after HHS audit and final settlement of audit recommendations.

D. DDS Letter of Credit Files

These files consist of records which authorize Federal Reserve Banks to disburse funds on behalf of SSA to designated DDSs for use in administering the DI program. Included are SF-1193, Letter of Credit; amending letters; and similar records.

Record copies are maintained by headquarters.

Destroy 3 years after the year in which revoked.

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p><u>E. Letter of Credit Transactions Files</u></p> <p>These files consist of monthly DDS reports on cash transactions made under letter of credit authorizations. The reports provide SSA with data to reconcile letter of credit accounts and with projections of future funding requirements. Included are Form SSA-2050, Monthly Summary of Cash Transactions and Cash Analysis, and similar records. <i>Record copies are maintained by headquarters.</i></p>	<p>Destroy after HHS audit and final settlement.</p>
<p><u>F. DDS Cost Allocation Files</u></p> <p>These files consist of copies of agreements entered into with State governments and certain DDSs by the Secretary of HHS, which specify the percentage of charges allowable for indirect costs in DDS budget requests. Original cost allocation agreements are retained by HHS.</p>	<p>Close out file at the end of the budget year, hold 3 additional years, and then transfer to the FRC. Destroy after a total 6 years' retention.</p>
<p><u>G. Form SSA-2552-U3, DDS Quality Assurance Report</u></p> <p>Monthly report received from DDS used in evaluating the quality of DDS disability operations. Included in the report is information on total cases completed, number of cases sampled, number of claims with documentation deficiencies, number of claims with adjudicative/decision deficiencies, number of claims with other deficiencies, and specific types of deficiencies. Record copies are retained by headquarters.</p>	<p>Destroy 1 year after the current year.</p>
<p><u>H. DDS Quarterly Quality Reports and Related Records</u></p> <p>Quarterly reports in memorandum format of the quality of DDS disability processing based on internal DDS preeffectuation review and form SSA-2552-U3. Also included in the file are Central Office and RO review findings; case rebuttals; and plans of corrective action.</p>	<p>Destroy 1 year after the close of the calendar year in which dated.</p>
<p><u>I. DDS Statistical Profiles</u></p> <p>A monthly and quarterly profile of DDS case processing developed by RO based on quality reviews by the RO and field assessment offices. The statistical profiles contain information on quality assurance errors and program analyses. The profile results are forwarded to the DDS. Monthly profiles are combined into quarterly profiles.</p>	<p>Destroy 1 year after the close of the calendar year in which dated.</p>

Description of RecordsAuthorized DispositionJ. DDS Fiscal and Administrative Management Review

Files consisting of records relating to the review of DDS fiscal and administrative management operations. Included are reports of visits, communications concerning improvements in operations, and similar records.

Retain two most recent reviews in file. Destroy earliest review upon completion of subsequent review provided there are no outstanding financial management issues unresolved in the earlier review.

K. Program Administrative Review Files

Files consisting of records accumulated in the administrative review of State vocational rehabilitation (VR) agency program operations. Included are monthly reports of visits, communications concerning improvements in operations, and similar records.

Retain two most recent reviews in file. Destroy earlier review upon completion of subsequent review.

L. Disability Insurance (DI) DO Visit Files

Documents accumulated in the review of DI claims process in DOs. Included in the files are reports of findings and recommendations correspondence, implementation plans and actions, followup memorandums and related records.

1. Visit Reports

Retain two most recent reviews. Destroy earlier review upon completion of subsequent review.

2. Background Documents

Destroy after 1 year.

M. Fee Schedule Files

Schedules of fees charged for services by members of the medical profession within a given State.

~~Maintain current and prior fee schedules. Destroy the earlier schedule when an updated schedule is received. Destroy when 6 years, 3 months old.~~

N. VR Refusal Workload Cards

Card files by claimant name used to control processing of VR refusal cases (cases in which claimant refused VR services after referral by DDS). Information on the card may consist of name, social security number (SSN), DO, and receipt assignment and disposition information.

1. Originals

Close off file at the end of the calendar year. Destroy 1 year thereafter.

2. Other Copies

Destroy upon completion of case processing.

<u>Description of Records</u>	<u>Authorized Disposition</u>
V. <u>ASSISTANCE PROGRAM FILES</u>	
A. <u>State Agreements and Modifications</u>	
Copies of agreements entered into with the State agencies by the Secretary of HHS, pursuant to sections 1616, 1631, and 1634 of the Social Security Act, as amended. The agreements provide for Federal administration of State supplementary payments program, for reimbursement to the States for interim assistance payments, and for Federal determination of Medicaid eligibility. Included are conversion agreements, amendments, and related documents. Record copies are retained by headquarters components.	1. <u>Regional Offices</u> Destroy 5 years after the close of the fiscal year (FY) in which terminated or superseded. 2. <u>State Agencies</u> Destroy in accordance with State practice.
B. <u>State Agency Budget and Financial Report Files</u>	
Records used to estimate, justify, and approve State agency SSI program administration costs and to account for funds received and expended by the State agency. Included are Forms SSA-2666, State Agency Budget; SSA-2666A, State Agency Budget List of Positions; SSA-2667, State Agency Budget Notice of Approval; SSA-2668, Notice to State Agency; SSA-2669, Financial Accountability Statement; SSA-2669A, Quarterly Expenditure Report; SSA-8710, State Agency Budget Request; SSA-8711, State Agency Budget List of Positions; SSA-8712, State Agency Budget Notice of Approval; SSA-8713, Quarterly Expenditure Report and Request for Reimbursement; SSA-8714, Notice of Payment and Financial Accountability Statement; or their equivalents. Also included are copies of certificates of authority and related documents. Record copies are retained by headquarters components.	1. <u>Regional Offices</u> Destroy 6 years following the close of the budget year. 2. <u>State Agencies</u> Destroy 3 years after HHS audit or 5 years after the close of the budget year, whichever is earlier.
C. <u>State Agency Audit Files</u>	
Records relating to audits of State agencies conducted by HHS Audit Agency. Included are reports of findings and recommendations, State agency and SSA comments on the reports, audit adjustment reports, and related documents. Record copies are retained by HHS Audit Agency.	Destroy upon completion of next subsequent audit.

<u>Description of Records</u>	<u>Authorized Disposition</u>
<u>D. Financial Accountability Statements-- Supplementary Payments Program</u>	
Copies of Form SSA-8700, Financial Accountability Statement for State Supplementary Payments Program, or its equivalent. The forms are used to account for the disposition of State funds transferred to the Federal Government to cover State liability for expenditures under the supplementary payments program. Record copies are retained in headquarters.	Destroy 3 years after settlement with States.
<u>E. State Correspondence Files</u>	
Correspondence with the State agencies on matters relating to the administration of the supplementary security income (SSI) program.	Destroy 2 years following the close of the FY in which dated, or 1 year after settlement with States, whichever is later, unless deemed to be a continuing statement of policy or procedure not contained elsewhere.
<u>F. State Profile Data Files</u>	
Files containing data on State programs and operations which have a bearing on the SSI program.	Destroy when superseded or obsolete.
<u>G. SSI DO Visit Program</u>	
Documents accumulated in formal review program of SSI claims process in DOs. Examples of review topics are quality of initial determinations, redeterminations, overpayments, and postadjudicative action and due process. Included are report of findings and recommendations, correspondence, followup memorandums, and related documents. The program is also called Technical Assistance and Performance Evaluation.	<u>1. Visit Reports</u> Retain two most recent reviews. Destroy earlier review upon completion of subsequent review. <u>2. Background Documents</u> Destroy after 1 year.
<u>H. Policy Memorandum Files</u>	
Copies of memorandums prepared by the RO in response to a specific inquiry from a DO/BO, State agency, or other source clarifying or interpreting a particular issue relating to the SSI program. The memorandums are generally filed by subject matter. They are retained for reference in the event that the issue arises again in the future.	Review files on an annual basis, and destroy those records which do not have continuing applicability.

Description of RecordsAuthorized DispositionI. Microfiche Records

Microfiche received from SSA headquarters containing account, payment, address, representative payee, history, and other data on beneficiaries residing within the region. The fiche is updated periodically.

Destroy upon receipt of updated microfiche.

J. Litigation Files

Files containing copies of legal documents and miscellaneous correspondence relating to Title XVI civil litigation. Included are copies of the complaint and answer, motions, temporary restraining orders, preliminary injunctions, and similar documents. Record copies are retained by the Office of the General Counsel.

Destroy 1 year after the case has been closed.

K. Form SSA-3911, Report of Change - SSI Data

A multipart form, Form SSA-3911, Report of Change - SSI Data, or its equivalent, used by States to notify SSA of discrepancies between their records and the State Data Exchange record. Copies of the form are forwarded by States to the DOs for necessary verification and action. After DO verification, the information on the form may be used to correct the Supplementary Security Record and may result in a redetermination action. Copies of form SSA-3911 are received by ROs for control purposes.

Destroy when 3 months old.

L. Form SSA-8125, Supplemental Security Income Notice of Interim Assistance, Reimbursement Eligibility and Accountability Report

Form SSA-8125, Supplemental Security Income Notice of Interim Assistance Reimbursement Eligibility and Accountability Report, or its equivalent, used to assign the first SSI payment to the State if the individual had been paid under a State adult general assistance welfare program. These are completed by the State with accountability information and forwarded to the RO for review. Form SSA-8125 is the only paper record of the division of SSI monies for repayment of State welfare with the balance forwarded to SSI recipient. Also included are associated control listings.

Close off the file at the end of the FY. Hold 1 additional FY, and transfer to the FRC. Destroy when ~~4 years old~~ 6 years, 3 months old.

Description of RecordsAuthorized DispositionVI. INSURANCE PROGRAMSA. State Agreements and Modifications

Legal agreements entered between SSA and a State or SSA and an interstate instrumentality under section 218 of the Social Security Act, as amended. The agreements provide for social security coverage for employees of the State, political subdivision, or interstate instrumentality. Included are modifications and interpretations.

Permanent. Transfer to the FRC 5 years after termination or supersession of the agreement. Offer to the National Archives ~~5 years thereafter~~ *10 years after termination or supersession.*

~~B. Termination Documents~~

~~Legal documents terminating social security coverage for employees of a State, political subdivision, or interstate instrumentality.~~

~~Permanent. Transfer to the FRC 5 years after termination or supersession of the agreement. Offer to the National Archives 5 years thereafter.~~ **WITHDRAWN**

C. State and Local Onsite Reviews

Onsite audits and/or reviews of States, political subdivisions or interstate instrumentalities of their performance as employers with respect to the payment of Federal Insurance Contributions Act (FICA) taxes. These reviews may be conducted by SSA and/or HHS employees and are done on a sample basis. Review records consist of a report of findings and recommendations, implementation plans, correspondence and associated documents.

~~Destroy 2 years after completion of review and implementation of findings.~~
Destroy 3 years after implementation of actions to correct deficiencies.

D. Representative Payee Onsite Review Data Files

These files contain material accumulated during the onsite review of State institutions which serve in a representative payee capacity for retirement and survivors insurance (RSI) beneficiaries. Included in the files are questionnaires containing data on the institution's policies regarding representative payee cases (policy questionnaires), questionnaires containing data on the institution's handling of specific sample cases (beneficiary questionnaires), and tabulations of these data. They must be retained in the event that legal action is instituted against the institution for mishandling of funds in its representative payee capacity.

Transfer to the FRC upon completion of the next subsequent review of the institution or after 2 years, whichever is earlier. ~~Destroy after 5 years retention in the FRC.~~ *7 years after next subsequent review.*

Description of RecordsAuthorized DispositionE. Quality Assurance Deficiency Reports

Copies of reports from field assessment personnel forwarded to DOs to report errors in processing of RSI claims cases. Included are Forms SSA-525, Request for Evidence of Assistance; SSA-3940, DO Feedback Report - RSI Claims; and SSA-5530, DO/Tel Requests for Evidence or Assistance. These reports are maintained by the DO and are used as a reference tool for DO visits and for computation of statistics on case processing.

Destroy when 1 year old.

F. DO Reference Files

Reference files of materials collected concerning a particular DO. The files, retained by DO name, are used as reference source in preparing review items for DO visits. Included in the files are previous visit reports, memorandums, and statistical and service area information. Record copies of DO reviews are maintained by field operations staff.

1. DO Review Report

Retain two most recent reviews. Destroy earlier review upon receipt of subsequent review.

2. Other Documents

Review files annually and discard those documents which do not have continuing value.

~~G. Welfare Enumeration Agreements~~

~~Agreements with States for the State preparation of applications for SSNs for Aid to Families with Dependent Children applicants or recipients, or food stamp recipients. The agreements define responsibilities of both the States and SSA.~~

~~Permanent. Transfer to the PRG 5 years after termination or supersession of the agreement. Offer to the National Archives 5 years thereafter.~~ WITHDRAWN

VII. SYSTEMS OPERATIONSDO Reference Files

Reference files maintained by DO relating to any systems problems encountered by a particular DO. Included are correspondence, copies of DO visit reports, systems statistical information and related records. The files are used as a reference tool for resolving any systems problems. Record copies of visit reports are maintained by field operations staff.

A. DO Review Reports

Retain two most recent reviews. Destroy earlier upon receipt of subsequent review.

B. Other Documents

Review files annually and discard those documents which do not have continuing value.

<u>Description of Records</u>	<u>Authorized Disposition</u>
VIII. <u>MANAGEMENT AND BUDGET FILES</u>	
A. <u>Field Service</u>	
1. <u>Field Facilities Space Files</u>	
Documents relating to each SSA field facility within the region. Included are copies of space requests to the General Services Administration (GSA), solicitations and bids, floor plans, correspondence on space problems, and other related documents.	Destroy 2 years after relocation or close of the office.
2. <u>Telephone Service Files</u>	
a. Telephone Inventories	Destroy upon receipt of subsequent inventory.
b. Request for Telephone Service	Destroy after 1 year.
3. <u>Printing Orders</u>	
Includes Form GSA-50, Request for Printing Service.	Destroy after 1 year.
4. <u>Equipment Files</u>	
a. <u>Reprographic Equipment Files</u>	
Includes usage reports and correspondence on equipment problems and usage of new equipment. <i>Record copies are maintained by headquarters.</i>	Destroy after 1 year.
b. <u>Office Furniture Damage</u>	
Reports which include SF-361, Discrepancy in Shipment Report; SF-363, Discrepancy in Shipment Confirmation; and SF-365, Report of Item Discrepancy. <i>Record copies are maintained by headquarters.</i>	Destroy after 1 year.
c. <u>Capitalized Inventories</u>	
Computer listings of capitalized equipment in the custody of the RO. These lists are sent to the RO by the Office of Management, Budget, and Personnel (OMB) and reflect equipment and inventory adjustments.	Destroy upon receipt and verification of updated inventory listing.
d. <u>Equipment and Supply Procurement Files</u>	
Retained copies of requests for supplies and equipment, such as Forms HEW-393, Purchase/Service/Stock Requisition; SF-147, Order for Supplies and Services; receipts, requests for disposal, such as Form HEW-22, Property Action Request to Supply Officer; and similar documents. <i>Record copies are maintained by headquarters.</i>	Destroy 1 year after the FY in which dated.

Description of RecordsAuthorized Disposition5. Distribution Files

Copies of requests for publications and blank forms and other documents relating to the supply or distribution of publications to the RO and DOs. Also included is documentation regarding establishment of distribution lists for RO publications.

1. Distribution Lists

Destroy when list is updated or superseded.

2. Other Documents

Destroy when 1 year old.

6. Accident Reports

Retained copies of Form HEW-516, Accident Report, or its equivalent, used by SSA employees to report accidents. Also associated are related correspondence and medical and investigatory reports. Record copies are maintained by the servicing personnel office.

Destroy 2 years after date of occurrence.

B. Field Office Training Materials Files

Files of materials developed for and used in various DO training courses. Included are transcripts, handouts, charts, graphs, transparencies, course outlines, and similar materials.

Destroy 6 months after material becomes obsolete or 1 year if material is unique (e.g., format or design that may be used in a future training program).

C. Organizational Records1. Position Description Files

Documents describing the duties and responsibilities associated with a given SSA position. Included is Optional Form 8, Position Description, and equivalent or related documents. These files also include position descriptions for positions which are unique to that particular region.

Destroy 5 years after position is abolished or description is superseded.

2. Classification Survey Reports

Reports prepared by classification specialists upon completion of a survey of positions in a particular office. The surveys are conducted periodically to determine whether the positions are described and classified in accordance with OPM standards. They may also be conducted at the request of an employee.

1. Office Conducting a Survey

Destroy 3 years after the close of the calendar year in which dated.

2. Other Offices

Destroy after 1 year.

3. Classification Data Records

Records containing data gathered for use in classifying DOs and BOs. Included is data on the number of employees in the office, businesses in the area, number of BOs, media available, community population, etc.

Destroy when replaced by more current data.

Description of RecordsAuthorized Disposition4. Labor Relations Records

Documents relating to unions representing social security employees in DOs and BOs. Included are union organization and recognition documents, the union constitution, locally-negotiated union agreements, and related documents. Record copies are retained by SSA headquarters.

Destroy when superseded or terminated.

5. Organizational Planning Files

Records which establish, or effect substantive changes in the organization, functions, or relationships of RO components. Included are copies of approved organizational and staffing plans and charts, reorganization plans, functional or missions statements and directly supporting papers. Record copies are retained by the Office of Management Planning and Analysis (OMPA), OMBP.

Destroy 10 years after supersession.

D. Financial Records1. Regional Monthly TransactionReport

A monthly report received from the Office of Financial Resources (OFR), OMBP, showing expenditures of components in RO under direct line authority of the RC. The report contains Common Accounting Number (CAN) and Subobject Classification Code (SOC) on open commitments, unliquidated obligations, accrued expenditures, and total commitment obligations. *Record copies are maintained by headquarters.*

Destroy 1 year after the FY in which dated.

2. Office Expenditures andReporting File

Reports prepared at specified intervals (monthly, quarterly, etc.) by offices within the region under the line authority of the RC. The reports contain information and expenditures by category, by CAN, and SOC. Also included in the files are other reports or vouchers submitted by the office as justification/explanation for expenditures. Examples include copies of field mileage reports (Forms GSA-312, Daily/Monthly Vehicle Trip Ticket; and GSA-494, Monthly Motor Vehicle Use Record) and nonpayment copies of travel vouchers (SF-1012, Travel Voucher Memorandum, and SF-1164, Claim for Reimbursements for Expenditures on Official Business).

~~Destroy 2 years after the FY in which dated.~~ *Destroy after GAO audit or when 3 years old, whichever is sooner.*

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p><u>3. Regional Monthly Expenditure Report</u></p> <p>A monthly report of regional expenditures prepared by the RO from the expenditure reports submitted by offices within the region. The report is submitted to OMBP, OFR. <i>Record copies are maintained by headquarters.</i></p>	<p>Destroy 2 years after the FY in which dated.</p>
<p><u>4. Summary of Time and Attendance Data Listings</u></p> <p>Computer listing by pay period of time and attendance data from employees under the line authority of the RC. Also included are alert listings of employees working in excess of 20 hours of overtime above their scheduled time of duty. <i>Record copies are maintained by headquarters.</i></p>	<p>Destroy 1 year after the FY in which dated.</p>
<p><u>6. Miscellaneous Computer Listings</u></p> <p>Any computer listings not described elsewhere in this schedule either received from OMBP, OFR, or generated by RO management information systems to control and track RO expenditures.</p>	<p>Destroy 1 year after the FY in which dated.</p>
<p><u>E. Management Information Records</u></p>	
<p><u>1. Locally Developed Management Information (MI) Reporting Systems</u></p> <p>MI automated systems developed by RO MI staffs at the request of an RO component or component under the RC's line authority. The systems are developed to provide information to management on such topics as workload processing, quality control, and merit pay goals. Records may be in magnetic tape, disc or cassette form and computer reports which may be issued as monthly and quarterly reports. Specific examples of reports include Regional SSACCS Report; Goals Report; Merit Pay Report; DDS Processing Time Reports; and Work Factors and Productivity.</p>	<p><u>a. Machine Readable Records (Tapes, Discs, Cassettes)</u></p> <p>Erase and return to blank stock when 2 years old, or after three updating cycles, whichever is later.</p>
	<p><u>b. Reports</u></p> <p>Destroy when 2 years old.</p>
<p><u>2. Special MI Projects</u></p> <p>One-time special MI project requested by RO components. Examples of these include Cuban-Haitian refugee claims activity study or food stamp activity report. These one-time studies may cover any administrative or program topic. Records consist of machine readable records (magnetic tapes, discs, cassettes, etc.) and computer listings or reports.</p>	<p><u>a. Machine Readable Records (Tapes, Discs, Cassettes, etc.)</u></p> <p>Erase and return to blank stock when 2 years old, or after three updating cycles, whichever is later.</p>
	<p><u>b. Computer Listings and Reports</u></p> <p>Destroy when 2 years old.</p>

Description of RecordsAuthorized Disposition3. Systems Development and
Programming Documentation

Programming and systems documentation consisting of flowcharts, manuals, command routines, file specifications, or any documentation created or required to initiate, develop, operate or maintain an RO MI reporting system or one-time study project.

Destroy 1 year after discontinuance, obsolescence, or supersession of any MI reporting system or special study or project.

F. Personnel Files1. Recruitment Files

Files of individuals eligible for recruitment and employment by SSA. Included in the files are Forms SF-39, Certification Form, and SSA-1744, Composite Rating Form, or their equivalents.

Destroy when 2 years old.

2. Test Score Index Cards

Punchcards, by employee name, in alphabetical order by test, of employee's test results on internal SSA tests, such as claims aptitude testing. Included is OAR-1060, Test Card. Test scores are valid for 3 years or until superseded by more recent score.

Remove card and destroy when 3 years old or when more current test score is available, whichever is earlier.

3. Training Recruitment Class Files

Files in chronological order by class containing documentation on attendees of the class. Included in the files are training class listings, applications, and related documentation pertaining to assignment of individuals to offices.

Destroy when 2 years old.

4. Payroll Problem Files

Documentation relating to payroll problems (e.g., errors in leave balance, overtime payments, etc.) that the RO has been asked to held resolve. Included in the files are Forms HEW-411, Payroll Notification Form, and HEW-411A, Error Notice, and associated correspondence.

Destroy 6 months after error is resolved.

5. Award Files

Files of documentation relating to awards given to SSA employees within the region. Included in the files are Forms SSA-171, Recommendation for Award, correspondence and justifications. Also included are log files and an alphabetical card file containing summary information on award (name, date, type of award) used for followups and to resolve any processing problems.

1. Card Files

Screen annually and remove and destroy cards older than 2 years.

2. Other Documentation

Destroy when 1 year old.

Description of RecordsAuthorized DispositionIX. FAMILY ASSISTANCEA. Program Policy Records

Records pertaining to the financial assistance and incentive aspects of public assistance. They consist of files relating to aid to families with dependent children (AFDC), AFDC emergency assistance, and unemployed fathers. These files normally include information regarding eligibility requirements and limitations, program review and consultations, safeguarding the rights of applicants, fraud and recoupment accounting and payments, appeals, cooperation with other agencies, community work and training, compliance issues, and other such program-related files.

Close out files at the end of each calendar year or after final resolution on redeterminations or litigations, whichever is later. Transfer 3 years thereafter to the FRC. Destroy after a total 6 years' retention.

B. Grants Records1. Discretionary (Project) Grants

Grants made in support of an individual project in accordance with legislation which permits the grantee agency to administer such grants. Record materials are to be maintained for each grant awarded. These records include official file copies of application evaluation documentation (including documents concerning review of applications and program records) and correspondence. These records may also include assurances and certifications (for civil rights, protection of human subjects, etc.).

Transfer to FRC 2 years after project completion. Destroy ~~6 years thereafter.~~
8 years after project completion.

2. Formula Grants

Grants provided to specified grantees on the basis of specific formula provided in legislation or regulation. These grants are generally mandatory. There is a file maintained for each annual formula grant awarded. These records include the budget information, award notices, progress reports, letters of credit, correspondence, cost allocation plans, and other related documents.

Transfer to the FRC 2 years after close of the FY. ~~Destroy 6 years thereafter in which the grant was closed.~~
Destroy 8 years after the FY in which closed.

Description of RecordsAuthorized DispositionC. State Plan Records

Record copies of approved State plans, materials submitted by each State, territory and possession pertaining to State administration of public assistance grants-in-aid programs. The files contain copies of State laws, Attorney Generals' opinions, approved assistance plans developed by the States, formal transmittals, plans maintenance data, and related material. Also included is the superseded materials. This file is basic for a study of the operations of public assistance programs in the States. These materials may be required as evidence in payment litigation cases of Federal/State agreements on services to be provided by the States.

Permanent. Transfer to the FRC 10 years after termination or supersession of the agreement. Offer to the National Archives ~~5 years thereafter~~ *15 years after termination or supersession.*

D. State Compliance Hearings

Records consisting of correspondence, briefs, notes, and official hearing dockets pertaining to States' plans, practices, and procedures which are not in conformity with Federal provisions.

Transfer to the FRC 2 years after closeout. Destroy after a total 7 years' retention.

E. Management Assistance and Reviews

Records pertaining to stimulation of State action in achieving selected management objectives and the systems to assure follow-through. They may contain such information as financial reviews and monitoring of State compliance with Federal financial report requirements.

Close out file at the end of each calendar year or after final resolution. Transfer to the FRC 3 years thereafter. Destroy after a total 6 years' retention.

F. Statistical and Other Operational Reports

Monthly, quarterly, and other periodic reports from States and possessions pertaining to recipients of financial assistance, including estimated and actual expenditures for programs. These include reports prepared by the ROs. Also includes information on caseload, standards for eligibility determination, disposition of application, fair hearing activities, and fraud.

Close out the file at the end of the budget year. Destroy when 3 years old.

Description of RecordsAuthorized DispositionG. Audit Reports

Reports pertaining to the audit of contracts, grants, and internal operating and management procedures relating to programs. The audits are conducted by internal staff, HHS Audit Agency, and by the General Accounting Office. Included in the file are resolutions and supporting documentation.

Destroy when 3 years old.

X. HEARINGS AND APPEALSA. Hearing Decision Files

Copies of hearing decisions which are received from hearing offices and reviewed by staff members for technical deficiencies. Included is Form HA-514d, Hearing Decision, or its equivalent. Record copies are retained in the claims file.

Destroy 90 days after completion of review.

B. Hearing Transcript Files

Copies of hearing transcripts which are received from hearing offices and retained for review by staff members. Included is a copy of Form HA-509, Hearing Transcript, or its equivalent. Record copies are retained in the claims file.

Destroy after 90 days.

C. Hearing Office Survey Files

Documents relating to periodic surveys of hearing office operations conducted by RO personnel. Included is the final survey report and related background material.

Destroy related background material 2 years after completion of the final survey report.
Destroy final survey report after 5 years.

D. Form HA-663, BHA Case Locator Coding Sheet, or Form HA-672, BHA DC/HO Case Control Coding Sheet, or Their Equivalents

This form is used to key data into the case control system. Also included are associated teletype papers.

Destroy after input has been verified and edits have been resolved.

Description of RecordsAuthorized DispositionE. Form HA-548, Memorandum Transfer of Cases

This form is used to report transfer of cases between hearing offices.

Destroy after input has been verified and edits have been resolved.

F. Medical Advisors and Vocational Experts Files

Pertains to documents relating to medical advisors and vocational experts under contract with SSA for furnishing professional services. *Record copies are maintained by headquarters.*

Destroy 1 year after termination of contract.

G. Union Agreements

Pertains to documents relating to the union representing social security employees in the RO and in the field offices. Included are union recognition documents, the union constitution, negotiated union agreements, and other related documents. Record copies are retained by SSA headquarters.

Destroy when superseded or terminated.